STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS DEPARTMENT OF BUSINESS REGULATION **DIVISION OF SECURITIES** 233 RICHMOND STREET - SUITE 232 PROVIDENCE, RI 02903-4232

DEPARTMENT COMPLAINT FORM

DEPARTMENT COMPLAINT FORM	<u>[</u>	Office Use Only
		Case No Date Filed
	is form and return to above address if you have d to meet their responsibilities and obligation	re reason to believe that a licensee regulated by the
Complainant's Name: Last	First_	Middle
Residence Street	City/Town	StateZip
Mailing Address (if different from reside	ence)	
Home Telephone	Business Telephone & Exte	nsion
Name, Address, Phone of person who al	ways knows where to contact me	
Licensee or regulated activity about wh	nom or which I am making complaint	
Address (Business or Residence)		Phone
Type of Licensee or Regulated Activity		
Securities	Charitable Organizations	Time Shares
Broker Dealer	Fund Raiser	
Franchisor	Investment Adviser	
Date, Time and Place of alleged violation	on	
Other Federal, State, Municipal, local ag	gencies or legal counsel I have contacted with re	egard to this complaint, including results of contacts.
	ch will help support your allegations including	gainst the licensee or regulated activity. Be sure to g, but not limited to statements, contracts, purchase HER SIDE)
The undersigned swears to or affirms th including all statements hereto attached	•	s, representations and allegations contained herein,
SIGNED		DATE

<u>NATURE OF COMPLAINT</u> : If more space is needed attach additional sheets.		

The Department will investigate your complaint for possible violations of applicable statutes and regulation. We will make every effort to bring about a satisfactory resolution---this Department only has jurisdiction to take certain statutorily defined regulatory actions against the regulated entity/individual. The Department does not have jurisdiction to order the entity/individual against whom you are filing this complaint to return or refund money to you. Therefore, occasionally, a resolution may not lie within the jurisdiction of this Department. If that is the case, we may suggest you seek an attorney, or refer you to an appropriate agency. If your complaint involves securities, you may also wish to seek arbitration through the National Association of Securities Dealers, Inc. c/o Arbitration Committee, 33 Whitehall Street, New York, NY 10004, (212) 858-4400.